



**STATE OF NEVADA**  
**DEPARTMENT OF ADMINISTRATION**  
**NEVADA STATE LIBRARY, ARCHIVES and PUBLIC RECORDS**  
**100 N. Stewart Street**  
**Carson City, Nevada 89701**  
**(775) 684-3411 \* Fax (775) 684-3426 \* TDD (775) 687-8338**

**The Committee to Approve Schedules for the Retention  
and Disposition of Official State Records**

**Meeting Notice**

**DATE:** Wednesday, February 10, 2016  
**TIME:** 1:15 p.m.  
**LOCATION:** Nevada State Library and Archives Building  
Board Room  
100 North Stewart Street  
Carson City, Nevada 89701

Notice: The Committee to Approve Schedules for the Retention and Disposition of Official State Records may address items out of sequence. The Committee may combine two or more agenda items for consideration, and the Committee may remove an item from the agenda or delay discussion relating to an item on the agenda at any time.

**Agenda**

- 1. Call to Order, Welcome, Roll Call**
- 2. Public Comment**  
Comment may be limited to 5 minutes at the discretion of the Chairman.
- FOR POSSIBLE ACTION 3. Review, correct, if necessary, and approve the minutes of the November 18, 2015 meeting.**
- FOR POSSIBLE ACTION 4. Department of Public Safety: Capitol Police**
  - A. RDA 2003050: Annual Statistical Report
  - B. RDA 2009007: Capitol Police Personnel (Pre-Post) Training Files
  - C. RDA 2009009: Crime Statistics Database
- FOR POSSIBLE ACTION 5. Governor's Finance Office, Internal Audit**
  - A. RDA 2006153: Internal Controls Class Training Files
  - B. RDA 2006154: Compliance Review Files
  - C. RDA 2006145: Annual Plan
  - D. RDA 2006146: Annual Report
  - E. RDA 2006147: Audit Workpapers
  - F. RDA 2006148: Biennial Compliance Reports
  - G. RDA 2006162: Final Audit Reports

	<ul style="list-style-type: none"> <li>H. RDA 2006151: LCB Audit Follow-Up Workpapers</li> <li>I. RDA 2010013: Report on Internal Controls</li> <li>J. RDA 2016003: Agency Training Audit Plan</li> <li>K. RDA 2016004: State Fraud, Waste and Abuse Hotline Files</li> <li>L. RDA 2016006: Procurement Card Applications</li> <li>M. RDA 2006149: DIA Follow-up Database</li> <li>N. RDA 2006150: LCB Audit Follow-up Database</li> <li>O. RDA 2006152: Financial Managers Electronic Training Files</li> </ul>
<b>FOR POSSIBLE ACTION</b>	<b>6. Office of the State Controller</b> <ul style="list-style-type: none"> <li>A. RDA 2004097: ADVANTAGE™ Financial System Microform Reports</li> <li>B. RDA 2016002: Financial Reports</li> <li>C. RDA 2016005: Cancelled Checks</li> <li>D. RDA 2004095: ADVANTAGE™ Financial System Files</li> <li>E. RDA 2004098: ADVANTAGE™ Financial System Reports</li> <li>F. RDA 2004099: ADVANTAGE™ Financial System Vendor Records</li> <li>G. RDA 2004096: DAWN Data Warehouse Files</li> <li>H. RDA 2002053: Fraudulent Checks</li> </ul>
<b>FOR POSSIBLE ACTION</b>	<b>7. Department of Taxation</b> <ul style="list-style-type: none"> <li>A. RDA 1993105: Property Tax Appeal Files</li> </ul>
<b>FOR POSSIBLE ACTION</b>	<b>8. General Schedule</b> <ul style="list-style-type: none"> <li>A. RDA 2005114: Bids &amp; Requests for Proposals (RFP) Evaluation Committee Files</li> </ul>
<b>FOR POSSIBLE ACTION</b>	<b>9. Review NRS 239.073 regarding the composition, and possible modifications, of The Committee to Approve Schedules for the Retention and Disposition of Official State Records</b>
	<b>10. Nevada Department of Transportation Update (Discussion Only)</b>
<b>FOR POSSIBLE ACTION</b>	<b>11. Discuss future agenda items</b> <b>Environmental Protection</b> <b>Secretary of State</b>
	<b>12. Informational Items (Discussion Only)</b>
	<b>13. Public Comment</b> Comment may be limited to 5 minutes at the discretion of the Chairman.
<b>FOR POSSIBLE ACTION</b>	<b>14. Confirm time of next meeting</b> Next meeting scheduled for March 9, 2016 at 1:15pm
<b>FOR POSSIBLE ACTION</b>	<b>15. Adjourn</b>

## General Information

Members of the public who are disabled or who may require special accommodations at the meeting are requested to notify Michelle Byrne in writing at the Records Management Program 100 N. Stewart Street, Carson City, NV 89701 or by calling (775) 684-3411 or by email [mbyrne@admin.nv.gov](mailto:mbyrne@admin.nv.gov) prior to the meeting date.

A complete copy of the information submitted to the Committee for this "Agenda and Meeting Notice" is available by contacting the Records Management Program at (775) 684-3411. This agenda, the Committee Packet and all other supplemental material made available to each Committee member will also be made available to the public on the website of the Department of Administration, Nevada State Library and Archive prior to the meeting date and may be found at: [www.nsla.nv.gov](http://www.nsla.nv.gov) (under Records Management, State Records Committee).

The material is also available by contacting Michelle Byrne at [mbyrne@admin.nv.gov](mailto:mbyrne@admin.nv.gov)

### **This agenda has been posted at the following locations:**

The Nevada State Library and Archives  
100 North Stewart Street  
Carson City, NV 89701

The Nevada Legislature  
401 S. Carson St.  
Carson City, NV 89701

Washoe County Library  
301 South Center Street  
Reno, NV 89505

The Las Vegas/Clark County Library District  
1401 E. Flamingo Road  
Las Vegas, NV 89119

NSLA website: [www.nsla.nv.gov](http://www.nsla.nv.gov)

As required by [NRS 232.175](#):  
<https://notice.nv.gov/> Under the Department of Administration, State Records Committee.

*The Committee to Approve Schedules for the  
Retention and Disposition of Official State Records  
The “State Records Committee”  
Minutes for November 18, 2015*

**1: Call to Order, Welcome, Roll Call**

- The meeting was called to order at 1:16 pm. The meeting was held at the Nevada State Library and Archives Board Room, at 100 N. Stewart St, Carson City, NV.

Committee Members:

Jeff Landerfelt, for Barbara K. Cegavske, Secretary of State - Present

Kathryn Etcheverria, Governors Appointee - Present

Sarah Bradley, for Adam Laxalt, Nevada Attorney General - Excused

Jeff Kintop, for Daphne DeLeon, Administrator, Nevada State Library, Archives and Public Records – Present

Mary Woods, For Patrick Cates, Director of the Department of Administration – Excused

Jim Earl, for Shannon Rhaming, Administrator, Enterprise Information Technology Services – Present

Staff:

Teri Mark, State Records Manager, NSLAPR – Excused

Cynthia Laframboise, State Archives Manager, NSLAPR – Present

Sara Martel, Senior Records Analyst, NSLAPR – Present

Gerald Lindsay, Senior Records Analyst, NSLAPR – Present

Michelle Byrne, Administrative Assistant, NSLAPR – Present

Kimbra Andrews, Department of Transportation – Excused

Guests Present:

Barbara Cegavske, Secretary of State

Scott Anderson, Secretary of State’s Office

Pam Kimberlin, Nevada Air National Guard

Tabitha Hartman, Nevada Air National Guard

Tiffany Hudder, Treasurers Office

Pam Graber, Department of Public and Behavioral Health

Jeff Hansen, Department of Public and Behavioral Health, Medical Marijuana Program

## **2: Public Comment**

**Comment may be limited to 5 minutes at the discretion of the Chairman.**

- There was no public comment.

## **3: Review and Approve the Minutes for October 14, 2015**

- The minutes were approved as presented. The motion was made by Jim Earl and the second was by Kathryn Etcheverria. The vote was unanimous.

## **4: Health and Human Services, Medical Marijuana Program**

A. 2015023      Establishment Registration Files      New

### **Agency review:**

The appraisal is supported by the Medical Marijuana Program Records Officer.

### **Justification for New RDA 2015023:**

The licensing of facilities for medical marijuana is a new program for the Division of Health and Human Services. A new records series is required for the new records being created. Licensees must recertify yearly. As not all the information contained in the initial application is included in the recertification forms, it is recommended that the entire file be kept for the retention period. Three years allows the file to be retained if a licensee re-applies after expiration, rejection or revocation and allows for a complete legislative cycle. These records contain personal identifying and financial information.

### **Discussion and Vote:**

This item was approved as presented with no further discussion needed. The motion was made by Jeff Kintop and the second was by Kathryn Etcheverria. The vote was unanimous.

## **5: Office of the Governor, Air National Guard**

A. 2002021      Personnel Records and Orders      Modify  
B. 2002025      Administrative Orders      Delete

### **A. Recommended Modification:**

**Title: Personnel Records *and Orders***

**RDA: 2002021**

### **Agency review:**

The appraisal is supported by the Air National Guard Records Officer.

### **Justification for Modification of RDA 2002021:**

The retention period meets administrative and legal needs.

The records for both RDA 2002021 and 2002025 are filed together. To simplify the disposition of the records, this record series is being modified to include the records from RDA 2002025.

**B. Recommended Deletion:**

**Title:** ~~Administrative Orders~~

**RDA:** 2002025

**Agency review:**

The appraisal is supported by the Air National Guard Records Officer.

**Justification for Deletion of RDA 2002025:**

The records for both RDA 2002021 and 2002025 are filed together. To simplify the disposition of the records, the records for this RDA are being combined with records from RDA 2002021.

Discussion and Vote:

This item was approved as presented with no further discussion needed. The motion was made by Jim Earl and the second was made by Jeff Kintop. The vote was unanimous.

**6: Office of the Treasurer**

A. 1994051 Warrants Paid

Modify

**Agency review:**

The appraisal is supported by the Office of the Treasurer's Records Officer.

**Justification for Modification of RDA 1994051:**

Both NRS 52.247 and NRS 239.051 give the authority that a microfilmed image is deemed the original and do not regulate the retention of records. As the agency no longer uses microfilm for these records, the statement regarding microfilming should be removed.

Discussion and Vote:

This item was approved as presented with no further discussion needed. The motion was made by Jim Earl and the second was made by Jeff Kintop. The vote was unanimous.

**7: Welfare and supportive Services, Program and Field Operations**

A. 2003176 Computer Reports for Benefit and  
Support Services: Temporary

Delete – Non Record

**Agency review:**

The appraisal is supported by the Welfare and Supportive Services Records Officer.

**Justification for Deleting RDA 2003176:**

This schedule is for a database. As a non-record, this RDA should be deleted from the schedule.

Discussion and Vote:

This item was approved as presented with no further discussion needed. The motion was made by Jeff Kintop and the second was made by Jim Earl. The vote was unanimous.

**8: Health and Human Services, Aging and Disability Services Division**

**Health and Human Services, Aging and Disability Services Division**

- |    |         |  |                     |
|----|---------|--|---------------------|
| A. | 2006026 | Early Intervention Services: Services for Children with Disabilities | Modify              |
| B. | 2010030 | Online Affordable Housing Registry                                   | Delete – Non Record |

**A. Recommended Modification:**

**Title:** Early Intervention Services: Services for Children with Disabilities **RDA:** 2006026

**Agency review:**

The appraisal is supported by the Aging and Disability Services Division Records Officer.

**Justification for Modification of RDA 2006026:**

The current retention has two retention periods. As the records pertain only to children, retaining the records until the child attains the age of 23 satisfies State and HIPAA requirements.

**B. Recommended Deletion:**

**Title:** ~~Online Affordable Housing Registry~~

**RDA:** ~~2010030~~

**Agency review:**

The appraisal is supported by the Aging and Disability Services Division Records Officer.

**Justification for Deletion of RDA 2010030:**

This schedule is for a database. As a non-record, this RDA should be deleted from the schedule.

Discussion and Vote:

These items were approved as presented with no further discussion needed. The item was voted on separately, as items A and B. For item A, the motion was made by Jeff Kintop and the second was made by Jim Earl. For item B, the motion was made by Jim Earl and the second was made by Kathryn Etcheverria. The votes were unanimous.

## **9: Health and Human Services, Bureau of Health Care Quality and Compliance**

A.	2004069	Facilities Licensing Database	Delete – Non Record
B.	2004066	OASIS/Aspen Databases	Delete – Non Record

### **A. Recommended Deletion:**

**Title:** ~~Facilities Licensing Database~~

**RDA:** ~~2004069~~

**Agency review:** The appraisal is supported by the Public HHS, Bureau of Health Care Quality and Compliance Records Officer.

### **Justification for Deletion of RDA 2004069**

This schedule is for a database. As a non-record, this RDA should be deleted from the schedule.

### **B. Recommended Deletion:**

**Title:** ~~OASIS/Aspen Database~~

**RDA:** ~~2004066~~

**Agency review:** The appraisal is supported by the Public HHS, Bureau of Health Care Quality and Compliance Records Officer.

### **Justification for Deletion of RDA 2004066**

This schedule is for a database. As a non-record, this RDA should be deleted from the schedule. Additionally, it is a Federal, not State, database.

### **Discussion and Vote:**

This item was approved as presented with no further discussion needed. The motion was made by Jim Earl and the second was made by Kathryn Etcheverria. The vote was unanimous.

## **10: Health and Human Services, Bureau of Preparedness, Assurance, Inspection and Statistics**

A.	2006012	STD HIV/AIDS Electronic Data Base (HARS)	Delete - Obsolete
----	---------	---	-------------------

### **Agency review:**

The appraisal is supported by the Public and Behavioral Health – Communicable Diseases Records Officer.

### **Justification for Deletion of RDA 2006012:**

This schedule is for a database. As a non-record, this RDA should be deleted from the schedule. The official record is scheduled in RDA 2006011: STD HIV/AIDS Statistical Case Report.

### **Discussion and Vote:**

This item was approved as presented with no further discussion needed. The motion was made by Kathryn Etcheverria and the second was made by Jeff Kintop. The vote was unanimous.



## **11: Health and Human Services, Child Care Facilities and Services**

A. 2004175 Children's Medical Records Modify

### **Agency review:**

Staff has been unsuccessful in reaching the Records Officer for Child Care Facilities but will continue its efforts.

### **Justification for Modification of RDA 2004175:**

The current retention has two retention periods. As the records pertain only to children, retaining the records until the child attains the age of 23 satisfies State and HIPAA requirements.

### **Discussion and Vote:**

This item was approved as presented with no further discussion needed. The motion was made by Kathryn Etcheverria and the second was made by Jeff Kintop. The vote was unanimous.

**12: Review NRS 239.073** regarding the composition, and possible modifications, of The Committee to Approve Schedules for the Retention and Disposition of Official State Records. (See attachment B)

- This item was tabled by the chair until the next meeting. Committee staff will do more research to help with the decision of if the make-up of the committee should change.

## **13: Nevada Department of Transportation Update (discussion only)**

- There was no update.

## **14: Discuss future agenda items:**

Governor's Finance Office  
Office of the Controller  
Secretary of State  
Treasurer's Office  
Composition of the State Records Committee

## **15: Informational Items (discussion only)**

- The E-Records forum that was held in October was a success.

## **16: Public Comment**

**Comment may be limited to 5 minutes at the discretion of the Chairman**

- There was no public comment.

## **17: Determine time of next meeting**

- The next meeting will be held January 13, 2016 at 1:15 pm in the Nevada State Library and Archives Board room.

## **18: Adjourn**

- The meeting was adjourned at 2:33 pm with the motion made by Jim Earl. The vote was unanimous.

#### **4: FOR POSSIBLE ACTION**

##### **Department of Public Safety, Capitol Police**

A.	2003050	Annual Statistical Report	Delete – Obsolete
B.	2009007	Capitol Police Personnel (Pre-Post) Training Files	Delete – Obsolete
C.	2009009	Crime Statistics Database	Delete – Non Record

##### **A. Recommended Deletion:**

**Title:** ~~Annual Statistical Report~~

**RDA:** ~~2003050~~

##### **Description:**

~~These are the annual printed statistical reports about the Crime/Incident Reports. The records may contain but are not limited to: Dates of incidents; Incident number; Synopsis of crime/incident.~~

##### **Authorized Retention:**

~~Retain a copy of this report for a period of ten (10) calendar years from the date of printing.~~

##### **Recommended Disposition:**

~~Destroy Securely~~

##### **NSLA staff recommendation:**

Delete this RDA

##### **Agency review:**

The appraisal is supported by the Capitol Police Records Officer.

##### **Justification for Deletion of RDA 2003050:**

Capitol Police no longer creates this report. Annual Reports are created by the Department of Public Safety – General Services Division under RDA 2006165 “Annual Statistical Report of Crime”. The retention and disposition is 5 years from the date of issue then transfer to the State Archives.

##### **B. Recommended Deletion:**

**Title:** ~~Capitol Police Personnel (Pre-Post) Training Files~~

**RDA:** ~~2009007~~

##### **Description:**

~~These records document the pre POST (Peace Officers Standards and Training Commission) training given to personnel of the Division. The records may contain but are not limited to: Copies of training records; Copies of personnel records; Related correspondence.~~

##### **Authorized Retention:**

~~Retain these records for a period of thirty-five (35) calendar years from the date an individual becomes a peace officer in the State of Nevada, or six (6) calendar years from the known death of the individual, whichever comes first.~~

##### **Recommended Disposition:**

~~Destroy Securely~~

##### **NSLA staff recommendation:**

Delete this RDA

**Agency review:**

The appraisal is supported by the Capitol Police Records Officer.

**Justification for Deletion of RDA 2009007:**

Capitol Police is not the office of record for training files. Training records are maintained in the personnel file and/or NEATS.

**C. Recommended Deletion:**

**Title:** ~~Crime Statistics Database~~

**RDA:** ~~2009009~~

**Description:**

~~These records contain information about the Crime/Incident Reports and are used for general indexing and statistical reporting purposes. The records may contain but are not limited to: Dates of incidents; Incident number; Names and other data of persons and officers involved; Synopsis of crime/incident.~~

**Authorized Retention:**

~~Retain these records for a period of ten (10) calendar years from the date of entry.~~

**Recommended Disposition:**

~~Destroy Securely~~

**NSLA staff recommendation:**

Delete this RDA

**Agency review:**

The appraisal is supported by the Capitol Police Records Officer.

**Justification for Deletion of RDA 2009009:**

This schedule is for an index database. As a non-record, this RDA should be deleted from the schedule. The official record is covered under General Schedule RDA "202004 Law Enforcement: Crime/Incident Reports".

## **5: FOR POSSIBLE ACTION**

### **Governor's Finance Office**

A.	2006153	Internal Controls Class Training Files	Modify
B.	2006154	Compliance Review Files	Modify
C.	2006145	Annual Plan	Modify
D.	2006146	Annual Report	Modify
E.	2006147	Audit Workpapers	Modify
F.	2006148	Biennial Compliance Reports	Modify
G.	2006162	Final Audit Reports	Modify
H.	2006151	LCB Audit follow-Up Workpapers	Modify
I.	2010013	Report on Internal Controls	Modify
J.	2016003	Agency Training Audit Plan	New
K.	2016004	State Fraud, Waste and Abuse Hotline Files	New
L.	2016006	Procurement Card Applications	New
M.	2006149	DIA Follow-Up Database	Delete – Non Record
N.	2006150	LCB Audit Follow-Up Database	Delete – Non Record
O.	2006152	Financial Managers Electronic Training Files	Delete – Obsolete

#### **A. Recommended Modification:**

**Title:** Internal Controls Class Training Files

**RDA:** 2006153

#### **Description:**

This record series is used to develop, conduct and evaluate training required by NRS 353A.055 and NAC 353A.100. The files may contain: tests, ~~training evaluations~~, ~~Summary to Test Results~~, ~~class register~~, class attendance, ~~class schedule~~, training materials (~~handouts, etc.~~), supportive documents and related correspondence.

#### **Authorized Retention:**

Retain a copy of this report for a period of five (5) calendar years from the ~~end of the calendar year~~ ~~date of printing~~ **in which they were printed.**

#### **Recommended Disposition:**

Destroy ~~Securely~~.

#### **NSLA staff recommendation:**

Retention meets administrative and legal needs.

#### **Agency review:**

The appraisal is supported by the Internal Audit Records Officer.

#### **Justification for Modification of RDA 2006153:**

As social security numbers are no longer used for employee identification, these records no longer contain confidential information. As such, a secure destruction is no longer necessary. The agency has requested all retentions to be changed to the "end of the calendar year to which they pertain" to simplify destruction.

## **B. Recommended Modification:**

**Title:** Compliance Review Files

**RDA:** 2006154

### **Description:**

This record series is used to conduct compliance reviews in accordance with NRS chapter 353.090. The files ~~may~~ contain ~~information grouped into major categories including~~, but not limited to: ~~(a) Review Program, agency background information (b) Work Paper Review (Lead Conference / Entrance Conference, engagement letters, post-review process appendix, etc.); (c) Documentation (Appendix B used for attribute testing, closing conference); (d) Management Letter / Advisory Comments / Summary of Findings (Summary of Findings with supportive documentation, advisory comments, agencies response, etc.); (f) Preparation and Planning (department website and organizational chart, prior audit documentation, prior post-review documentation, Financial Management work papers, Internal Audit work papers, etc.); (g) Sampling (DAWN computer printouts, to determine attribute sampling, list of transactions for attribute sampling, backup for issues noted etc.); (h) internal control walkthroughs, Walk Through (copies of accounting and financial documents, etc.); (i) Other (risk assessment conclusions, applicable references, database - percent compliance of transactions tested, management letters, summary of findings report, agency response, for fiscal year unit and budget account reports, etc.)~~ and other supportive documentation.

### **Authorized Retention:**

Retain these records for a period of seven (7) calendar years from the ~~date~~ **end of the calendar year** of the final ~~audit report review~~.

### **Recommended Disposition:**

Destroy Securely-

### **NSLA staff recommendation:**

Retention and disposition meet administrative and legal needs.

### **Agency review:**

The appraisal is supported by the Internal Audit Records Officer.

### **Justification for Modification of RDA 2006154:**

Audit report is not an accurate term for the summary of findings report. Many of the documents listed are no longer used. By removing the specific names of documents, the description does not have to be modified each time the process is updated with new reports etc. The agency has requested all retentions to be changed to the "end of the calendar year to which they pertain" to simplify destruction.

## **C. Recommended Modification:**

**Title:** Annual Plan

**RDA:** 2006145

### **Description:**

These records document the annual plan for each section of the Division (See NRS 353A.045 (2)). The files may contain but are not limited to: Annual Plan including revisions; Summary Sheet for Executive Branch Audit Committee Meeting; Staff reports; Supporting documentation, and: Related correspondence.

### **Authorized Retention:**

Retain these records for a period of five (5) calendar years from the ~~date~~ **end of the calendar year in which** the plan was submitted to the Executive Branch Audit committee. ~~Copies of the Annual Plan may be retained longer for administrative purposes.~~

### **Recommended Disposition:**

Permanent: Transfer to State Archives

### **NSLA staff recommendation:**

Retention meets administrative and legal needs.

**Agency review:**

The appraisal is supported by the Internal Audit Records Officer.

**Justification for Modification of RDA 2006145:**

The agency has requested to change to “end of calendar year” so all their retentions are the same. Copies are non-records and should be removed from the schedule.

**D. Recommended Modification:**

**Title:** Annual Report

**RDA:** 2006146

**Description:**

This record series documents the annual report of accomplishments submitted to the Executive Branch Audit Committee (EBAC) in accordance with NRS 353A.065. The files may contain: Annual Reports (including reports on the Internal Audits Section, Financial Management Section and Post Review Section), Summary Sheet for Executive Branch Audit Committee Meeting, staff reports, statistical reports, report of Performance Indicators, supporting documentation and related correspondence.

**Authorized Retention:**

Retain these records for a period of five (5) calendar years from the ~~date~~ **end of the calendar year in which** the report was submitted to the Executive Branch Audit committee. ~~Copies of the Annual Report may be retained longer for administrative purposes.~~

**Recommended Disposition:**

Permanent: Transfer to State Archives

**NSLA staff recommendation:**

Retention meets administrative and legal needs.

**Agency review:**

The appraisal is supported by the Internal Audit Records Officer.

**Justification for Modification of RDA 2006146:**

The agency has requested to change to “end of calendar year” so all their retentions are the same. Copies are non-records and should be removed from the schedule.

**E. Recommended Modification:**

**Title:** Audit Workpapers

**RDA:** 2006147

**Description:**

This record series is used to conduct internal audits and periodic compliance reviews in accordance with NRS chapter 353A. The files contain information grouped into major categories including, but not limited to: (a) Administrative and Report File (EBAC minutes, review checklist, staffing and independence reports, etc); (b) Survey File (General Audit Survey, Pre-audit conference, Audit process handout, request for information letters, copies of laws – regulations & policies, copies of strategic plans – mission statements – objectives & goals etc); (c) Detailed Survey (report); (d) Audit Risk and Audit Plan (report); (e) Testing & Evaluation; (f) Six Month Follow-Up File (audit follow-up checklist, report to EBAC, interim implementation updates from agency, etc); (g) Annual Follow-Up File (checklist, Annual Report to Agency & DIA's Analysis and Response, agency response, etc); (h) Other EBAC Requests; (j) LCB Audit Follow-Up File (checklist, corrective action plans, 5-month status report from agency, etc) and supportive documentation.

**Authorized Retention:**

Retain these records for a period of seven (7) calendar years from the ~~date~~ **end of the calendar year in which** ~~of~~ the final report **was prepared**.

**Recommended Disposition:**

Destroy Securely

**NSLA staff recommendation:**

Retention meets administrative and legal needs.

**Agency review:**

The appraisal is supported by the Internal Audit Records Officer.

**Justification for Modification of RDA 2006147:**

The agency has requested to change to “end of calendar year” so all their retentions are the same.

**F. Recommended Modification:**

**Title:** Biennial Compliance Reports

**RDA:** 2006148

**Description:**

This record series documents the biennial reports of compliance required by NRS 353A.025. The files may consist of: biennial report of compliance by executive branch agencies to the Director of the Department of Administration (NRS 353A.025 (2)), the Director's report to the status of internal accounting and administrative controls (See NRS 353A. 025 (4)) to the Director of the Legislative Counsel Bureau, the Governor and the Legislative Auditor, Supporting documentation and related correspondence.

**Authorized Retention:**

Retain these records for a period of four (4) calendar years from the *end of the calendar year date-in which* the report was submitted to the Legislative Counsel Bureau, Governor and Legislative Audit.

**Recommended Disposition:**

Permanent: Transfer to State Archives

**NSLA staff recommendation:**

Retention meets administrative and legal needs.

**Agency review:**

The appraisal is supported by the Internal Audit Records Officer.

**Justification for Modification of RDA 2006148:**

The agency has requested to change to “end of calendar year” so all their retentions are the same.

**G. Recommended Modification:**

**Title:** Final Audit Reports

**RDA:** 2006162

**Description:**

This record series documents the final report of internal audits in accordance with NRS chapter 353A.

**Authorized Retention:**

Retain these records for a period of twenty (20) calendar years from the *end of the calendar year date-of in which* the final audit report was prepared.

**Recommended Disposition:**

Permanent: Transfer to State Archives

**NSLA staff recommendation:**

Retention meets administrative and legal needs.

**Agency review:**

The appraisal is supported by the Internal Audit Records Officer.

**Justification for Modification of RDA 2006162:**

The agency has requested to change to "end of calendar year" so all their retentions are the same.

**H. Recommended Modification:**

**Title:** LCB Audit Follow-up Workpapers

**RDA:** 2006151

**Description:**

This record series is used to conduct follow-up audits and periodic compliance reviews on audits completed by the Audit Division of the Legislative Counsel Bureau (LCB). The files may contain: checklist, corrective action plans, copy of LCB audit report, audit follow-up matrix, 5-month status report from agency (with supportive documentation) and related correspondence.

**Authorized Retention:**

Retain these records for a period of five (5) calendar years from the *end of the calendar year* ~~date of in~~ *which* the final audit report was *prepared*.

**Recommended Disposition:**

Destroy Securely

**NSLA staff recommendation:**

Retention meets administrative and legal needs.

**Agency review:**

The appraisal is supported by the Internal Audit Records Officer.

**Justification for Modification of RDA 2006151:**

The agency has requested to change to "end of calendar year" so all their retentions are the same.

**I. Recommended Modification:**

**Title:** Report on Internal Controls

**RDA:** 2010013

**Description:**

These records document the self-assessment reports from agencies on their actual and written internal control procedures (See NRS 353A.025). The record may contain but is not limited to: checklist reports with supportive documentation; related correspondence.

**Authorized Retention:**

Retain these records for a period of five (5) calendar years from the *end of the calendar year* ~~date of in~~ *which* the report was due.

**Recommended Disposition:**

Destroy

**NSLA staff recommendation:**

Retention meets administrative and legal needs.

**Agency review:**

The appraisal is supported by the Internal Audit Records Officer.

**Justification for Modification of RDA 2010013:**

The agency has requested to change to "end of calendar year" so all their retentions are the same.



**J. Recommended New RDA:**

**Title:** *Agency Training Audit Plan*

**RDA:** 2016003

**Description:**

*This record series is used to document the annual training plan required by NRS 353A.045(2). The files may contain the names of agencies that the division will provide training and assistance for the next fiscal year.*

**Authorized Retention:**

*Retain these records for a period of five (5) calendar years from the end of the calendar year in which they were submitted to the Director of the Governor's Finance Office.*

**Recommended Disposition:**

*Destroy.*

**NSLA staff recommendation:**

This RDA meets administrative and legal needs.

**Agency review:**

The appraisal is supported by the Internal Audit Records Officer.

**Justification for New RDA 2016003:**

This RDA is needed to cover records not previously on a schedule. The 5 year retention is recommended based on NAC 353A.100: "...any employee of an agency whose duties include administering budgetary accounts shall, at least once every 5 years, attend training provided by the Division of Internal Audits". The agency has requested all retentions to be changed to the "end of the calendar year to which they pertain" to simplify destruction

**K. Recommended New RDA:**

**Title:** *State Fraud, Waste and Abuse Hotline Files*

**RDA:** 2016004

**Description:**

*This record series is used to document inquiries into issues left on the State Fraud, Waste and Abuse hotline as required by NRS 353A.049. The files may contain input forms (which includes names and contact information of hotline callers along with a description of the issue), research material, determination of the issues, "Fraud Call Summary" report, supportive documentation, and related correspondence.*

**Authorized Retention:**

*Retain these records for a period of three (3) calendar years from the end of the calendar year in which the report was submitted to the Director of the Governor's Finance Office.*

**Recommended Disposition:**

*Destroy Securely.*

**NSLA staff recommendation:**

This RDA meets administrative and legal needs.

**Agency review:**

The appraisal is supported by the Internal Audit Records Officer.

**Justification for New RDA 2016004:**

The three year retention is recommended based on NRS 11.190(3)(d) "**NRS 11.190 Periods of limitation.....**3.Within 3 years:.....Except as otherwise provided in NRS 40.4639, 125B.050 and 217.007, actions other than those for the recovery of real property, unless further limited by specific statute, may only be commenced as follows:....(d)Except as otherwise provided in NRS 112.230 and 166.170, an action for relief on the ground of fraud or mistake, but the cause of action in such a case shall be deemed to accrue upon the discovery by the aggrieved party of the facts constituting the fraud or mistake."

Three years also allows for legislative cycles.

This record series may contain confidential or sensitive information and should be destroyed in a secure manner that will prevent reconstruction of the information.

**L. Recommended New RDA:**

Title: *Procurement Card Applications*

RDA: *2016006*

**Description:**

*This record series documents the review and approval of agency internal controls for procurement cards. Records may include but are not limited to authorizations, applications, internal review/approval form, and related correspondence.*

**Authorized Retention:**

*Retain for a minimum period of thirty (30) days from the submission of the approval form to the State Purchasing Division.*

**Recommended Disposition:**

*Destroy*

**NSLA staff recommendation:**

This RDA meets administrative and legal needs.

**Agency review:**

The appraisal is supported by the Internal Audit Records Officer.

**Justification for New RDA 2016006:**

This RDA is needed to cover records not previously on a schedule. A 30 day retention is being recommended since the agency has very limited involvement in the process. Once the Internal Controls are approved, Internal Audit does not have any further contact with the agency. Thirty days is being recommended to allow for distribution to Purchasing and any possible issues with distribution.

**M. Recommended Deletion:**

Title: *DIA Follow-Up Database*

RDA: *2006149*

**Description:**

~~This record series is used administratively to keep track of audits and compliance reviews. The data includes, but is not limited to: agency name and contact information, date of audit, date of six month report, date of compliance review, audit and review checklists, and similar data.~~

**Authorized Retention:**

~~Update and modify these electronic records as needed, purging the database of information no longer needed for administrative purposes.~~

**Recommended Disposition:**

~~Destroy Securely~~

**NSLA staff recommendation:**

Delete this RDA

**Agency review:**

The appraisal is supported by the Governor's Finance Office Records Officer.

**Justification for Deletion of RDA 2006149:**

This schedule is for an index database. As a non-record, this RDA should be deleted from the schedule.

**N. Recommended Deletion:**

**Title:** ~~LCB Audit Follow-Up Database~~

**RDA:** 2006150

**Description:**

~~This record series is used administratively to keep track of Division follow-up audits of those completed by the Audit Division of the Legislative Counsel Bureau (LCB). The data includes, but is not limited to: agency name and contact information, date of LCB audit, date of DIA (Division of Internal Audit) review, audit review checklists, and similar data.~~

**Authorized Retention:**

~~Update and modify these electronic records as needed, purging the database of information no longer needed for administrative purposes.~~

**Recommended Disposition:**

~~Destroy Securely~~

**NSLA staff recommendation:**

Delete this RDA

**Agency review:**

The appraisal is supported by the Governor's Finance Office Records Officer.

**Justification for Deletion of RDA 2006150:**

This schedule is for an index database. As a non-record, this RDA should be deleted from the schedule.

**O. Recommended Deletion:**

**Title:** ~~Financial Managers Electronic Training Files~~

**RDA:** 2006152

**Description:**

~~This record series is used administratively to keep track of Financial Management Training given in accordance with NRS 353A.055. The electronic files include: "Attendance for Training" used to keep track of state employees who have received training in accordance with NRS 353A.055 (1)(b) and NAC 353A.100 (includes data on name, agency information, contact information, date of training, etc.); "Tests (Training)" used to develop, modify and print out tests for the required training classes; "Evaluation Rating" used to determine the effectiveness of the training in accordance with NRS 353A.055 (1)(c) (containing data on the number in attendance, date of training, evaluation questions, rating, etc.); "Evaluation Response Spreadsheet" used to follow-up on training by responding to questions posed by trainees in order to provide technical assistance to agencies in accordance with NRS 353A.055 (1)(d) (contains data on name, contact info, dates, questions, response, etc.); and similar electronic files.~~

**Authorized Retention:**

~~Update and modify these electronic records as needed, purging the database of information no longer needed for administrative purposes.~~

**Recommended Disposition:**

~~Destroy Securely~~

**NSLA staff recommendation:**

Delete this RDA

**Agency review:**

The appraisal is supported by the Governor's Finance Office Records Officer.

**Justification for Deletion of RDA 2006152:**

This schedule is for an index database. As a non-record, this RDA should be deleted from the schedule. Additionally, training is tracked by Department and not on an employee level.

## **6: FOR POSSIBLE ACTION**

### **Office of the State Controller**

A.	2004097	ADVANTAGE™ Financial System Microform Reports	Modify
B.	2016002	Financial Reports	New
C.	2016005	Cancelled Checks	New
D.	2004095	ADVANTAGE™ Financial System Files	Delete
E.	2004098	ADVANTAGE™ Financial System Reports	Delete
F.	2004099	ADVANTAGE™ Financial System Vendor Records	Delete
G.	2004096	DAWN Data Warehouse Files	Delete
H.	2002053	Fraudulent Checks	Transfer

#### **A. Recommended Modification:**

**Title:** ~~ADVANTAGE™ Financial System Microform~~ *Annual Budget Summary*

**RDA:** 2004097

#### **Description:**

This record series documents ~~the financial transactions occurring within the State Accounting System (see NRS Chapter 353) that are generated from the ADVANTAGE™ Financial System on a regular basis (daily, monthly, weekly and annually). The microform reports include, but are not limited to:~~ "Budget Status Reports" (containing information by Budget Account Number of status of funds available and used by General Ledger item within budget categories to date). ~~Trial Balance Reports, Check Registers (A Checks and E Checks), EFT's Scheduled, Outstanding Encumbrances, State Purchasing Archive Report and similar reports.~~

#### **Authorized Retention:**

Transfer the ~~original copy of the microform to the State Archives after a quality assurance check has been conducted. Retain any duplicate copies of microfilm in house for a period of three (3) fiscal years from the fiscal year to which they pertain. (There is no requirement for producing a duplicate office copy)~~ *annual summary reports at the end of the calendar year to which they pertain.*

#### **Recommended Disposition:**

*Permanent: Transfer to State Archives*

#### **NSLA staff recommendation:**

The retention period meets administrative and archival needs.

#### **Agency review:**

The appraisal is supported by the Office of the State Controller Records Officer.

#### **Justification for Modification of RDA 2004097:**

An appraisal of this record series by the State Archivist determined that the only report of historical significance within this record series is the Budget Status Report (BSR). As such, this RDA is being modified so that only the BSR is scheduled for transfer to the archives. A new records series (2016002) is being recommended to schedule the other report types.

**B. Recommended New RDA:**

**Title:** *Financial Reports*

**RDA:** 2016002

**Description:**

*This record series documents the financial transaction reports occurring within the State Accounting System. The reports include, but are not limited to: Trial Balance Reports, Check Registers (A Checks and E Checks), EFT's Scheduled, Outstanding Encumbrances, State Purchasing Archive Report and similar reports.*

**Authorized Retention:**

*Retain for 3 (three) fiscal years from the end of the fiscal year to which they pertain.*

**Recommended Disposition:**

*Destroy*

**NSLA staff recommendation:**

The retention period meets administrative and fiscal needs.

**Agency review:**

The appraisal is supported by the Office of the State Controller Records Officer.

**Justification for New RDA 2016002:**

Transaction reports were separated from the annual budget summary report as the State Archivist determined that only the annual budget summary report had archival and historical value. A new record series is being created to schedule the remaining report types. A three year retention is being recommended based on 2 year audit cycle NRS 353A.025 and the period of limitation for fraud or mistake.

**C. Recommended New RDA:**

**Title:** *Cancelled Checks*

**RDA:** 2016005

**Description:**

*This record series documents the cancellations of warrants (checks) due to the lack of deposit or cashing the check. The files may contain, but are not limited to: Cancellation of Controller's Warrant, Affidavit, General and Forged (form), copies of warrants (checks), copies of payment voucher forms, copies of bank statements, copies of computer printouts, notes and related correspondence.*

**Authorized Retention:**

*Retain for 3 (three) fiscal years from the end of the fiscal year to which they pertain.*

**Recommended Disposition:**

*Destroy Securely*

**NSLA staff recommendation:**

The retention period meets administrative and fiscal needs.

**Agency review:**

The appraisal is supported by the Office of the State Controller Records Officer.

**Justification for New RDA 2016005:**

The Treasurer's and Controller's offices handle similar functions regarding cancelled and fraudulent checks. The Treasurer's office processes checks that are cancelled due to forgery. The Controller's office processes checks that are cancelled because they are not cashed or deposited. RDA 2002053 "Fraudulent Checks" is on this agenda to be transferred to the Treasurer's office. This new RDA clarifies the Controller's role in the process of cancelled checks.

**D. Recommended Deletion:**

**Title:** ~~ADVANTAGE™ Financial System Files~~

**RDA:** 2004095

**Description:**

~~This record series is used to administer the activities within the ADVANTAGE™ Financial System of the State Accounting Procedures Law found in NRS Chapter 353. The information recorded in the system includes, but is not limited to: data on budgeting, expenditures, reimbursements, billings, accounts receivable, purchasing, general accounting, fixed assets, payroll expenditures (relating to budgets) and similar functions.~~

**Authorized Retention:**

~~Retain one (1) complete fiscal year of data on-line. The data may be updated and corrected in accordance with the written system security, modification and verification standards & procedures. A security backup copy must be made and securely stored in accordance with NRS 239.051.~~

**Recommended Disposition:**

~~Destroy Securely~~

**NSLA staff recommendation:**

Delete this RDA.

**Agency review:**

The appraisal is supported by the Office of the State Controller Records Officer.

**Justification for Deletion of RDA 2004095:**

This RDA is an electronic record keeping guide and not a record series. ADVANTAGE™ is a database, and the data and the system files are not records.

**E. Recommended Deletion:**

**Title:** ~~ADVANTAGE™ Financial System Reports~~

**RDA:** 2004098

**Description:**

~~This record series consists of copies of various computer printouts (CPO) used for administrative purposes within the State Accounting System. The reports may include, but are not limited to: System Assurance Reports, Error reports, Bank Reconciliations (including: "Schedule of Activity in the ADVANTAGE™ Financial System but not in Bank" and "Schedule of Activity in Bank but not in ADVANTAGE™ Financial System"), Daily Cancellations, Voucher Payment EFT Transfers and similar reports.~~

**Authorized Retention:**

~~Retain these reports only until the work is accomplished for which they were generated or until a superseding report is produced, as administratively needed.~~

**Recommended Disposition:**

~~Destroy Securely~~

**NSLA staff recommendation:**

Delete this RDA.

**Agency review:**

The appraisal is supported by the Office of the State Controller Records Officer.

**Justification for Deletion of RDA 2004098:**

The records defined in this record series are ad hoc reports created only as needed and not for retention purposes. As such, they are considered non records.

**F. Recommended Deletion:**

Title: ~~ADVANTAGE™ Financial System Vendor Records~~

RDA: ~~2004099~~

**Description:**

~~This record series is used to populate other accounting records within the ADVANTAGE™ Financial System with vendor information. The files may contain, but are not limited to: name, address, Employer Identification Number (Federal Tax I.D. number) and similar information.~~

**Authorized Retention:**

~~Purge the electronic file of inactive and or incorrect data as needed for administrative purposes.~~

**Recommended Disposition:**

~~Destroy Securely~~

**NSLA staff recommendation:**

Delete this RDA.

**Agency review:**

The appraisal is supported by the Office of the State Controller Records Officer.

**Justification for Deletion of RDA 2004099:**

ADVANTAGE™ is a database, and the data are not records and should be removed from the schedule. The vendor records are scheduled under RDA 2004100 "Vendor Registration and Maintenance Records".

**G. Recommended Deletion:**

Title: ~~DAWN Data Warehouse~~

RDA: ~~2004096~~

**Description:**

~~This record series is used to store and access data of the State Accounting Procedures Law found in NRS Chapter 353. The information recorded in the system includes, but is not limited to: data on budgeting, expenditures, reimbursements, billings, accounts receivable, purchasing, general accounting, fixed assets, payroll expenditures (relating to budgets) and similar functions.~~

**Authorized Retention:**

~~Retain ten (10) complete fiscal years within the system. The data may be updated and corrected in accordance with the written system security standards and correction/verification procedures. A security backup copy must be made and securely stored in accordance with NRS 239.051.~~

**Recommended Disposition:**

~~Destroy Securely~~



**NSLA staff recommendation:**

Delete this RDA.

**Agency review:**

The appraisal is supported by the Office of the State Controller Records Officer.

**Justification for Deletion of RDA 2004096:**

DAWN is a database, and the data are not records. So, it should be removed from the schedule.

**H. Recommended Transfer:**

**Title:** Fraudulent Checks

**RDA:** 2002053

**Description:**

This record series documents the cancellation and reissue of warrants (checks) due to "forgery" [someone other than the named individual endorsing and cashing the check]. The files may contain, but are not limited to: Cancellation of Controller's Warrant, Affidavit: General and Forged (form), copies of checks (warrants), copies of payment voucher forms, copies of deposit receipts, copies of bank statements, Reissue Document forms, copies of computer printouts, Affidavit of Claimant: Endorsement Forged (court document), notes and related correspondence.

**Authorized Retention:**

Retain this record series for a period of three (3) fiscal years from the end of the fiscal year to which they pertain.

**Recommended Disposition:**

Destroy Securely

**NSLA staff recommendation:**

Transfer this RDA.

**Agency review:**

The appraisal is supported by the Records Officers for the Office of the State Controller and the Office of the State Treasurer.

**Justification for Transfer of RDA 2002053:**

The process relating to fraudulent checks has been transferred from the Office of the State Controller to the Office of the State Treasurer.

## **7: FOR POSSIBLE ACTION**

### **Department of Taxation, Local Government Services**

A. 1993105 Property Tax Appeal Files

Delete - Obsolete

#### **A. Recommended Deletion:**

**Title:** ~~Property Tax Appeal Files~~

**RDA:** 1993105

#### **Description:**

~~This record series consists of property assessment valuation appeal files of the State Board of Equalization (See NRS 361.420(2)). The files include appeals of property tax abatement decisions (See NRS 361.4734 and NAC 361.6105 through 361.61074) and appeals of the denial of penalty and interest waivers (See NRS 361.4835). The files may contain, but are not limited to: evidence and exhibits submitted by the petitioner and respondent; the record of the county board of equalization; hearing documentation, including transcripts; related documentation~~

#### **Authorized Retention:**

~~Retain these records for a period of three (3) calendar years from the year to which they pertain~~

#### **Recommended Disposition:**

~~Permanent: Transfer to State Archives~~

#### **NSLA staff recommendation:**

Delete this RDA.

#### **Agency review:**

The appraisal is supported by the Records Officer for the Department of Taxation, Local Government Services.

#### **Justification for Deletion of RDA 1993105:**

This item was tabled in June 2014. The Committee asked staff to work with the Department of Taxation to determine the official record. Upon review, it was determined that the "Property Tax Appeal Files" are working documents and not the official record. All documents, except the decision letter, are part of the State Board of Equalization hearings and are sent to Archives for permanent preservation under the applicable open meeting law record series. The decision letter also has a permanent retention under RDA 2014184 "State Board of Equalization Decision Papers."

Since the official record is accounted for under current RDAs, and these files are working papers (non-records) it is recommended this RDA be deleted.

## **8: FOR POSSIBLE ACTION**

### **General Schedule**

A.	2005114	Bids & Requests for Proposals (RFP) Evaluation Committee Files	Delete - Obsolete
----	---------	---	-------------------

#### **A. Recommended Deletion:**

**Title:** ~~Bids & Requests for Proposals (RFP) Evaluation Committee Files~~

**RDA:** 2005114

#### **Description:**

~~These records document the evaluation process for bids and RFP's in accordance with NRS Chapter 333 and NAC Chapter 333. The committee member files may contain, but are not limited to: copy of bid or RFP; evaluation criteria and relative weight documentation (see NRS 333.335); evaluation factor score sheets (see NRS 333.335 and NAC 333.160 & 333.162); explanation of score (if separate from score sheet, see NAC 333.162); acknowledgement (see NAC 333.162); written notes during preparation and evaluation period; copy of written instruction; related correspondence.~~

#### **Authorized Retention:**

~~Transfer the original score sheet to the contract file (either at the agency fiscal office or the Purchasing Division) when directed to do so by the officer in charge of the evaluation committee. Retain all other documents for a period of one (1) calendar year from the end of the evaluation~~

#### **Recommended Disposition:**

~~Destroy~~

#### **NSLA staff recommendation:**

Delete this RDA

#### **Justification for Deletion of RDA 2005114:**

The agency in charge of the evaluation committee is the office of record. All records associated with the RFP process belong to the office of record, and are covered under RDA 1995086 "Contracts and Agreements". Any duplicate materials are considered non-records.